

SUCCESSION PLANNING STRATEGIES IN STATE GOVERNMENT



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EXECUTIVE SUMMARY

Succession Planning: A process designed to ensure the continued effective performance of an organization by making provision for the development and replacement of key people over time.

According to data from the State Personnel Board 30 to 45% of the workforce in some state agencies is over 55 years old. A high number of these individuals are from upper management. Faced with an aging workforce, State agencies will be hard pressed in the near future to fill their manager vacancies with qualified applicants. Several departments have begun to recognize the problem and initiate plans and activities to address their future needs. This project looks at succession planning and proposes various strategies to address the potential significant void in the workforce.

The project team started by examining the State workforce demographics, and interviewing experts in public policy and Human Resources to identify the root causes of the problem. We found that retirement incentives, an aging workforce, and salaries offered by private industry all contributed to the problem. We then looked to local, federal, and state agencies for benchmarking opportunities; researching efforts and strategies that they had started to address the problem. We found success stories at the California Department of Social Services, City of Roseville, within the federal government, and at the Employment Development Department.

After reviewing several models on succession planning, the one created by the State of New York titled *Our Workforce Matters, A Guide to Workforce and Succession Planning for New York State Agencies* is the one selected by the team as "best of breed".

Only after working through the initial key steps as outlined in the New York model can an organization move to developing solutions. The key steps include:

- a) defining a manageable scope;
- b) understanding your agency's direction and impact on external factors;
- c) examining the work performed;
- d) identifying the future demand for your services;
- e) determining the supply of candidates;
- f) identifying the gaps where demand for staff may exceed projected supply; and
- g) recommending priorities.

The recommended strategies as identified by the team fall within four areas; recruitment, organizational intervention, retention, and staff development.

This project outlines in more detail the key steps of the New York Model and offers recommendations believed to be the most important by the team. We are confident that this project provides a framework outlining key steps and potential strategies that will serve as a helpful tool to begin succession planning in your organization.

INTRODUCTION

PREFACE

This report addresses succession planning and is the product of a class project undertaken by Team VI of the California Leadership Institute (CLI), Class VI, Module 3. The CLI is a comprehensive leadership training program designed for state managers and executives. The team members and project sponsor are:

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This report provides the project sponsor recommendations on succession planning. Although the steps involved in succession planning are many, this report focuses on the key steps and presents them as modular strategies that could be adapted or modified not just by the project sponsor, but also by other state agencies. In that spirit, this report complements the report entitled *Handbook for Personnel Recruitment and Retention of State Employees* (Garcia et al. 2001), which was prepared by CLI Team IV in December 2001 and details recruitment and retention strategies, which are key factors to any successful succession plan.

During the course of this project, the state has had to address a \$23.6 billion budget shortfall. Most general fund organizations have been faced with upwards of a 20 percent cut in their budget appropriations and significant loss of vacancies. There are difficult challenges ahead for state government. When times are tough, the need to plan becomes even more critical.

PROJECT OVERVIEW

An aging workforce, retirement incentives and competition with other entities are causing a significant number of state employees to leave state service. According to data from the State Personnel Board (SPB), 30 to 45% of the workforce in some state agencies is over 55 years old (SPB 2002). A high number of these individuals are from upper management. There are varied strategies to deal with the potentially significant void in upper management. Succession planning is the most effective way. Succession planning is a subset of workforce planning. Whereas workforce planning essentially is having the right staff across the organization at the right time, succession planning focuses on the recruitment, retention, development, and replacement of organizational leaders over time.

Many federal agencies, other states, and local entities are well on their way in addressing succession planning. In addition, not surprisingly, there are a number of consulting firms ready to help develop customized plans. While several California state agencies have also been proactive in the area of workforce planning, and some like SPB are working on the problem from a statewide perspective, the State as a whole unfortunately is not prepared to deal with the projected turnover¹ at the top.

¹ As part of the project, the personnel departments of over 20 of the largest state agencies were contacted over the telephone regarding succession planning. The majority of departments reported that they did not have a succession plan.

The State of New York has a comprehensive workforce and succession planning model entitled Our Workforce Matters: a guide to work force and succession planning for New York state agencies (New York 2001), which could be adapted in part or in whole to any organization. This report provides an overview of the New York model and offers it as good starting point in succession planning. Also, this report highlights those areas of the model that are essential in putting together a succession plan. It also presents four case studies that demonstrate how certain public organizations of various sizes (e.g., cities, state and federal agencies) have begun the difficult task of succession planning. Succession planning is not an easy task in good or in difficult times. But without it, the overall success of an organization is always in question.



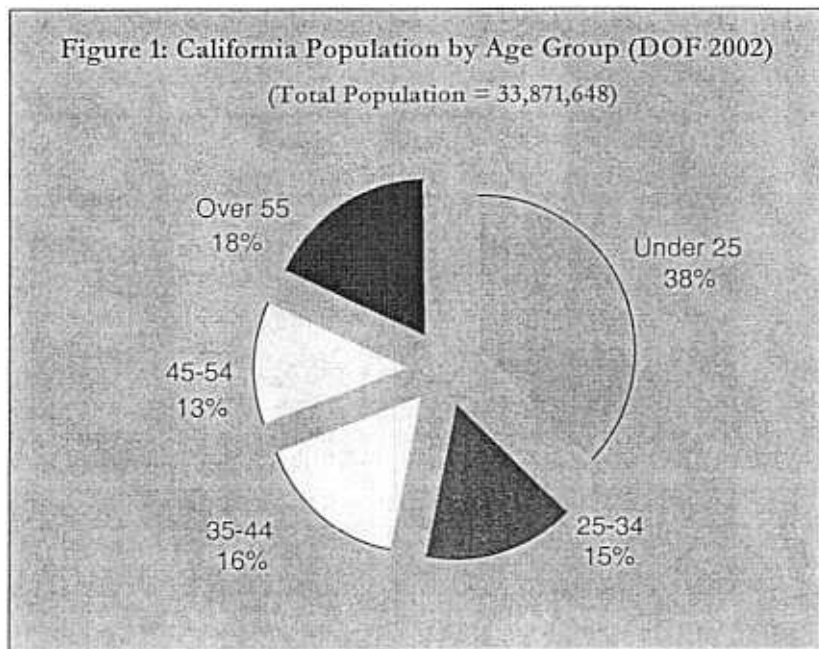
THE CASE FOR SUCCESSION PLANNING

THE STATE AND ITS WORKFORCE

California's economy now ranks 5th worldwide. According to data from the Department of Finance (DOF), not only does California have the largest economy in the United States, with nearly 34,000,000 people, the state also has the largest population of any state in the Union (DOF 2002). It also boasts a healthy population growth rate of about 2 percent per year. The state civil service workforce is critical in sustaining and enhancing the state's economy. It is also crucial in providing a variety of essential public services ranging from public health and safety to protecting and enhancing the state resources and infrastructure. However, demographic and economic changes throughout the State have become significant factors in state employee turnover—particularly managers and supervisors. This turnover, in turn, poses a significant challenge to the level of services provided by the state. The following paragraphs discuss these changes and factors.

STATE DEMOGRAPHICS

The “baby boomer” generation has one of the more measurable demographical impacts. According to data from the State Personnel Board (SPB), approximately 11,000 people turn 50 or older every day in the United States. In this context, data from the US Census Bureau indicate that the 50-65 age group is growing more rapidly than the 20-40 age group. If the current trend holds for the next 10 years, and there are indications that it is holding², this can have a significant impact not just on the public sector but also on the private sector. Specifically, the trend indicates that there will be fewer candidates in the pipeline to fulfill the future demand for workers. At the state level, the picture is not significantly different. About 30 percent of the state population is 45 years or older. The national aging trend is more self-evident in the make up of the state civil service workforce.



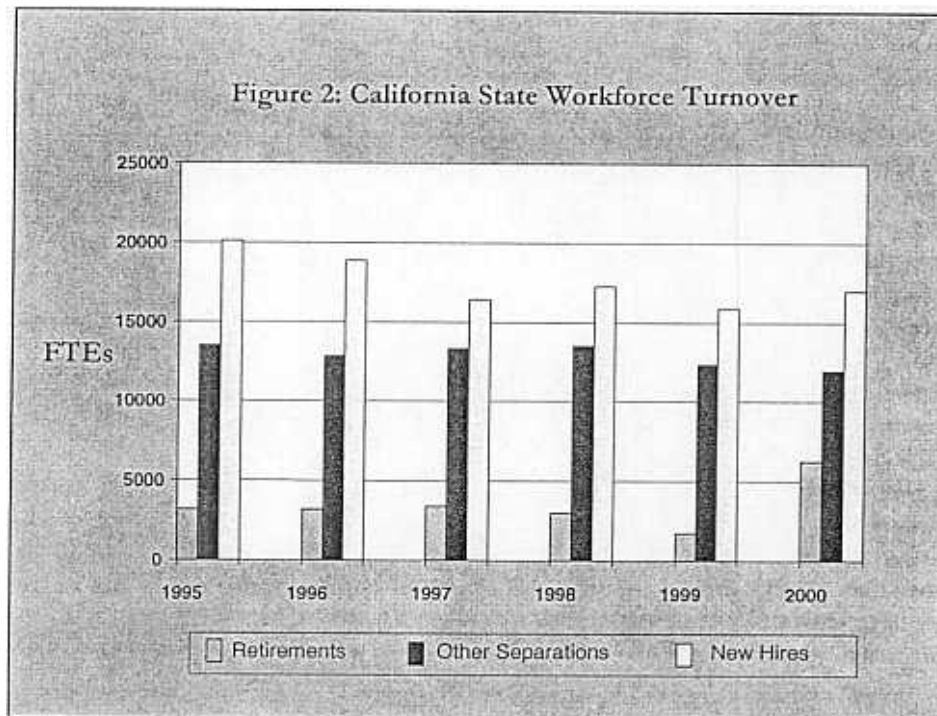
² According to the Legislative Analyst's Office CAL FACTS report for December 2000, the K-12 school-age population is projected to grow at a rate slower than the general population over the next several years.

STATE WORKFORCE

Currently, there are approximately 197,000 full time equivalent (FTEs) state employees⁴. Table 1, right, provides a breakdown of this workforce. Retirement incentives, aging, and competition with other entities are causing a significant number of state employees to leave state service.

Table 1: Current State Workforce ³	
Rank-and-file	161,098
Supervisors	24,167
Managers	3,924
Exempt	7,653
State FTEs (totals)	196,842

Data indicate that the hiring rate for the 1995-2000 period barely exceeded the turnover rate. In fact, in the last year of the subject period, the hiring rate was smaller than the turnover rate. Figure 2, below, illustrates this (SPB 2002a).



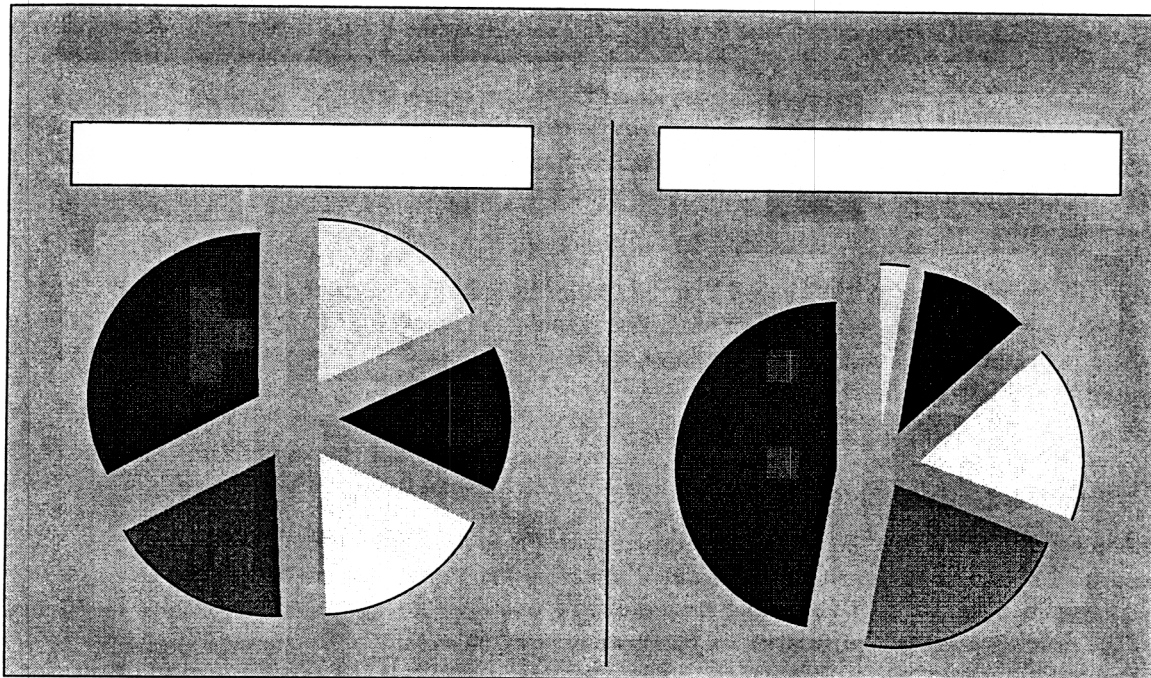
Further, an analysis of SPB data indicates that:

- About 50 percent of all state employees are 45 years or older,
- Up to 45 percent of all of the employees in several agencies are over 55 years old;
- About 50 percent of all supervisors and managers in state service are over 50 years old. ;
In 26 agencies, at least 60 percent of all managers are over 50; and
In 15 agencies, at least 50 percent of all supervisors are over 50 (SPB 2002).

³ Source: Legislative Analyst's Office, 2002

⁴ Data do not include community college or state university employees. See Table A-1 in Appendix B for a more detailed listing.

Figure 3, below, shows these trends.



ECONOMIC CONSIDERATIONS

Another factor affecting the turnover of employees is the salary discrepancies not just between the State and the private sector, but also between the State and other public agencies (e.g., city and county agencies). A report prepared by the Department of Personnel Administration (DPA) shows that, with one noted exception⁵, the largest counties and cities in the State pay consistently higher salaries for selected entry- and journey-level classifications than what the State pays for the same or similar classifications (DPA 2001). Where data from the private sector was available, the DPA report also shows that the private sector salaries are also consistently higher than the State salaries. In many cases, the salaries are significantly higher at all levels—this is particular true for the information technology, analytical services, civil engineering, geology, and law fields.

Since 2001, the United States has been officially in an economic recession, which drastically affected State revenue, which in turn resulted in a budget deficit of about \$24 billion for the State Fiscal Year 2002-2003. Subsequently, Governor Davis issued an Executive Order, which placed a hiring and promotional freeze essentially on all state agencies. Faced with the prospects of an even worse deficit for FY 2003-2004 (projected at about \$20-30 billion), the Governor issued another Executive Order in October 2002 authorizing an “Early Retirement Program” for state employees—the so-called “Golden Handshake” program for long serving state employees—and requested a 15-20 percent cost savings by all state agencies for 2002-2003. The cost savings was to be achieved mainly by leaving positions vacant.

⁵ The one exception to the salary discrepancy was the Office Technician class, for which the State evidently pays more than the other above-mentioned entities.

OTHER LEGAL AND ADMINISTRATIVE FACTORS

The legislature has changed Government Code Section 12439 requiring the State Controller to abolish any position that stays vacant for any on-going 6-month period. This section used to allow for the clock to start over on July 1 each year. Now the language has been amended to ignore the change in fiscal year. With the hiring freeze and the difficulty in getting hiring freeze exemptions approved by the Governor, it is becoming more and more difficult to retain vacant position authority in hope that eventually you will be able to fill the vacancy as the work continues to pile up. Further, the legislature has also announced a staff reduction of 7,000 positions statewide.

The Little Hoover Commissioner in 1999 stated that the California state government system is complex and dysfunctional making it difficult to recruit, select, train and manage the workforce needed to transform good policy into good programs. SPB and DPA alike have stated that the system is outdated and needs to be revamped for the workforce of tomorrow.

THE BOTTOM LINE

Based on the foregoing, not only state agencies currently have to compete among themselves for top candidates and leaders, but they also have to compete against other public and private entities who offer higher salaries. As the population of California continues to grow, there will be a greater demand for state services. For the next 10 years, administrators are facing a monumental task in replacing key supervisors and managers—people who have crucial experience, and understand organizational culture and state policy. While the increase in workload and unresolved salary discrepancies are not necessarily determining factors for retaining leaders, the factors certainly deter some potential candidates from even applying for state jobs. Consequently, if there ever was a time when all state agencies needed a well-defined plan in place to ensure they remain employers of choice for leaders and to recruit and develop leadership, the time is now.

In the course of researching succession planning, Team members reviewed tactics, plans and efforts developed by certain federal agencies, other states, State of California agencies, and local governments to address the issue. This chapter presents the key elements of succession planning and cites examples of outstanding and worthy models.

STRATEGIC PLANNING AS FOUNDATION

The data reviewed for this project indicates that, although a particular entity may use different labels, combine or expand the steps in their processes—and by extension vary the degree of detail and emphasis—each entity's approach contains certain common elements. Although none of the plans reviewed focused exclusively on succession planning, all of them either implicitly or explicitly did address the issue of preparing leaders as part of their overall workforce planning. Further, all of the plans were embraced and supported at the highest organizational levels and considered an integral part of the agency's Strategic Plan.

Strategic plans focus on knowing an agency's direction and mission so that the agency (1) can assess its workforce needs, (2) prioritize its behaviors, and (3) focus its resources to fulfill its mandates and mission. With this information, the agency can effectively start its succession planning efforts.

That is to say, an agency can start to assess and forecast its managerial and supervisory needs to meet its service deliver requirements including

the staffing levels required and skill sets needed to carry out the organization's mission. Next, the efforts focus on determining the availability of staff resources and their skills so that projections of the supply of staff can be determined. A gap analysis identifies not only staffing numbers, but also competency levels needed to meet future demands. Lastly, the efforts discuss solution areas. These are generally categorized in the areas of recruitment, organizational interventions, retention and training/staff development.

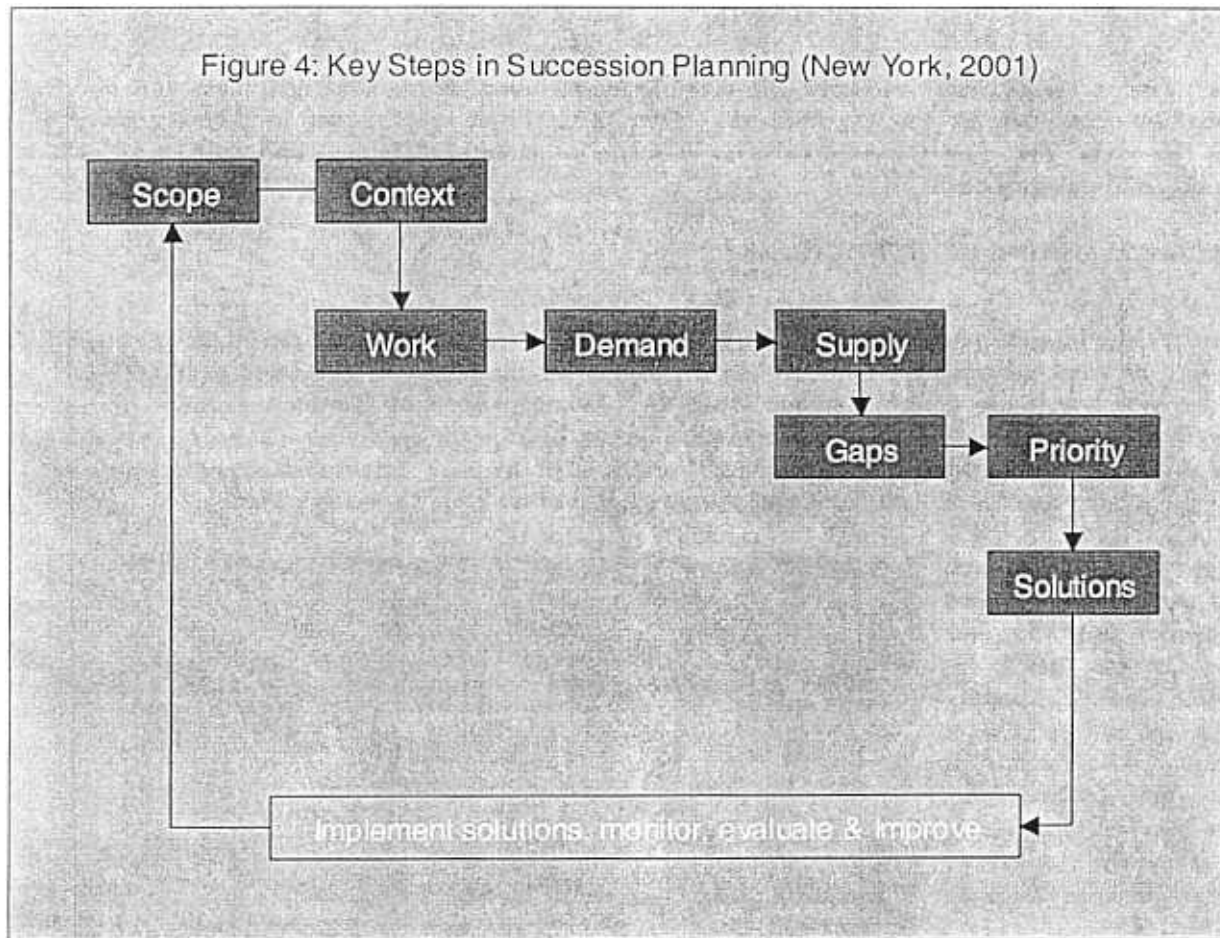
Succession Planning

- **Has Executive Sponsorship**
- **Is a subset of workforce planning**
- **Is an Integral component of the Strategic Plan**
- **Analyzes managerial and supervisory competencies for agency's mission**
- **Forecasts managerial and supervisory demand and supply**
- **Focuses its scope**
- **Provides solutions**

KEY ELEMENTS OF SUCCESSION PLANNING

The workforce and succession planning guide entitled *Our Workforce Matters: A Guide to Workforce and Succession Planning for New York State Agencies*, (New York 2001), hereafter referred to as "Guide," was by far the most comprehensive, informative and practical approach the Team reviewed. The Guide emphasized the need to focus on defining the problem area requiring attention – reviewing it in terms of context, the work, demand (competition), and supply. With data in hand, the approach advises the agency to conduct a gap analysis to determine the extent of the problem, and to prioritize areas of focus. The approach then focuses on potential solution areas. Figure 4, below, show the steps.

Figure 4: Key Steps in Succession Planning (New York, 2001)



As part of defining the process steps to use, the guide emphasizes that the succession planning effort must be customized for the organization. Each step contains a checklist of questions for consideration, and the approach can be adapted as necessary. Included in the guide are sample scenarios depicting solutions that use this structured approach. The following sections discuss the steps in more detail.

SCOPE

The process should be manageable in scope. It can involve a specific classification (e.g., IT managers, Administrative Services Supervisors, Division Chiefs, etc.), a geographic location, or key executive positions to address an initiative related to a strategic plan. It may also involve an effort to address staffing needs for a particular organizational unit. Consideration of the time available to address the situation is critical here.

CONTEXT

This step ensures that the succession planning effort includes an understanding of the agency's direction and the impact of external factors on it. In some cases, the Context step should be performed before the Scope step. The questions in this step are aimed at assisting the planner to develop the context of the succession

planning effort within the agency's service delivery needs. These questions center on understanding the effect that technology, cultural, economic, and legislative changes may have on the organization. For example, a law may be passed that requires launching a new technology initiative (e.g., e-commerce). This, in turn, may require the agency responsible for executing the law to staff a new unit, including appointing a new supervisor to head the unit. Suggested approaches for completing the Context step include reviewing strategic plans, forming work groups to address the questions, surveying stakeholders and benchmarking with other agencies.

WORK

This step focuses on functions performed within the scope of the effort. Here, the planner must begin with a clear understanding of the existing functions of the organization, determine future functions, and consider the Context information. The questions in this step prompt the planner to evaluate the possibility of outsourcing, discontinuing, enhancing, reengineering or expanding the services provided by the function under consideration. Considering that succession planning for managers is the focus of this effort, a discussion of "work" should consider the organizational unit(s) that need or will need manager(s). Departments may consider merging and consolidating teams as an option for addressing limited manager resources. Increasing the span of control for current managers (and by extension upgrading management classifications) or expanding the use of non-supervisory leads may be an option to consider as well. This step ensures that departments explore other alternatives to solving their management staffing needs that may not include hiring a replacement manager.

DEMAND

The planning effort in this case focuses on identifying the competencies—knowledge, skills, and abilities (KSAs)—required to successfully perform the function, as well as gauging the staffing levels needed to deliver services. This is the time to confirm that the identified KSAs map appropriately to the classification title specifications. Questions in this step lead the planner to consider that the functions may not change, but how the work is performed may (e.g., consider the impact that improvements in technology, like automated systems and geographical information systems, may have on how work is performed). This consideration needs to be factored in how the agency determines the KSAs and staffing levels required. The planner can develop a model or consider models developed by others. Surveys are recommended for collecting data. For many organizations, the expectation of the role of the manager has changed from managing workload, schedule and resources, to providing a vision and strategies for their organizations. For many years, the achievement of strong technical ability was a major factor in achieving a promotion to a management classification. Consideration for strong leadership, communication and planning abilities were not always factors in the manager selection process. From a manager's perspective, the organization needs to identify and prioritize the skills and abilities it wants to see and promote in its managers and evaluate the availability of these skills and abilities in its candidate pool. In addition, this step is devoted to evaluating manager classification levels for appropriateness and to determine the adequacy of management positions in the context of services to be delivered.

SUPPLY

In this step, the planner determines the supply of candidates by profiling a segment of the workforce within the context of the scope of the effort and reducing that number by the expected attrition. The guide cautions that using past attrition rates as an indicator for the future may not always be accurate but is one variable to consider.

Sample attrition calculation for an organization with 15 managers/supervisors in a particular organizational Unit/Division:

4 retirements
1 transfers
1 death

6 or 33.3% Attrition

GAPS

As the label implies, this step compares the expected staffing needs with the projected supply to identify the gaps. Gaps may occur in three areas because there may be:

- a. Excess staff performing a declining function (a candidate for outsourcing), or
- b. An inadequate supply of qualified people for positions/classifications that may not change, or
- c. An inadequate supply of individuals with the requisite skills sets (which may signal the need for further classification actions).

Although this step focuses on evaluating that the function continued to be required and assessing the adequacy of candidates with the requisite skills in the organizational unit, in the context of succession planning for managers, it is important to validate that the function and span of control are still viable and necessary. This step would identify managerial skills and abilities that the organization wishes to promote but that are not evident or in supply.

PRIORITY

This step directs the planner to prioritize staffing gaps in terms of the greatest impact on the success of the organization. The guide recommends that the highest priority be given to those gap areas that can be handled in the most routine way (e.g. giving an exam, executive assignments, etc.). Remaining gaps should be prioritized so that the areas of greatest impact and of benefit, if addressed, are considered.

SOLUTIONS

In this step, the planner develops solutions for the priority items. The guide cautions that as the priority list is worked and solution costs and resources for each item are considered, the organization may reorder its priorities. The solution categories varied depending on the aforementioned analysis, but the main ones fall into four broad categories, which are discussed in the following sections.

FUNDAMENTAL STRATEGIES

The solutions or strategies to address gaps and long-term planning range from the simple and inexpensive web recruiting programs to the more comprehensive (and costly) staff development strategies. However, the main ones fall into four categories, which are discussed in the following sections.

Fundamental Strategies

- Retention Strategies
- Organizational Intervention Strategies
- Recruitment Strategies
- Staff Development Strategies

RETENTION STRATEGIES

Retention strategies encourage employees to stay in the organization. This is critical not just at the rank-and-file level, but also at the managerial and supervisory levels. Recent surveys reveal that fair pay and benefits do not rank in the top ten reasons for employees who seek other employment (*Structures Magazine June 2001*). Working conditions, recognition and career development is viewed as essential to retaining the current workforce. In developing the range of varied retention strategies for an organization, the following are pertinent questions:

Key Retention Strategies

- Alternate work schedules
- Flexible schedules
- Telecommuting
- Mentoring programs
- Rotational assignments
- Recognition programs
- Exit interviews
- Employee surveys

How can quality of work life be improved to make the organization a more desirable place to work?

Is the environment clean, orderly, and professional? If not, can resources be obtained to address problem areas?

What orientation is provided to new employees? Are "hosts" or "buddies" available to help new hires get acclimated?

How can relationships among colleagues, supervisors, and managers become more collaborative, positive and enriching?

Is there diversity at the top? If not, how can diversity be incorporated into recruitment and development strategies?

What scheduling or work options (e.g., such as flex-time, compressed workweek, telecommuting, etc.) can be implemented to help managers and supervisors better balance work and home life?

How can assignments be made more challenging and varied?

How can promotional opportunities be enhanced in conjunction with other strategies?

Are employees provided opportunities to learn and grow?

Can more resources be devoted to career development?

What rotational opportunities are available?

Does the agency have an executive mentoring program?

How are managers and supervisors recognized and rewarded for their performance? Are they aware of the programs or process available for recognizing good work?

Are sufficient supports in place for managers and supervisors to motivate and support their employees?

Does the agency conduct exit interviews and administer surveys to find out what managers and supervisors need and want?

There is a vast range of options available to enhance retention of employees. The most effective programs being offered and utilized are alternate work schedules, flexible schedules, telecommuting, mentoring programs, rotational assignments, recognition programs, exit interviews, and employee surveys. Each of these options can be used individually or in multiple combinations. A brief description of each of these major retention strategies follows.

ALTERNATE WORK SCHEDULES

The traditional work schedule is Monday through Friday 8:00 am to 5:00 pm. The most common alternate work schedule entails the employee working a ten-hour day four days a week (4-10-40). Generally, employees will take Monday or Friday as their off day. Other options include alternate shifts such as swing and midnight shifts, the "9-8-80" schedule (nine hour workdays with every other Friday off, and 12-hour work days rotating every three weeks. There are many combinations used to derive alternate work schedules, however the key to a successful compressed workweek is to identify the needs of the organization (production, customer-based, etc.) while considering the following:

- Obtaining employee buy-in

- Making it voluntary

- Giving employees a choice of work schedules

It is recommended managers consider implementing an alternate work schedule program. In the private sector, the *Society for Human Resources Management 2000 Benefits Survey* found 27% of employers currently offering this program (*HR Magazine July 2000*). The program is being used as an effective recruitment tool.

FLEXIBLE WORK TIME

While similar to an alternate work schedule, flexible work time or flextime is a temporary schedule change within a workweek. Under flextime employees are given the opportunity to shorten one workday and extend another within the workweek. This flexibility allows employees to attend to personal business (e.g., medical and dental appointments, school functions, etc.) without the need to use earned leave credits. This program requires employees to obtain pre-approval before adjusting their work schedule. A recent survey of 1,020 U.S. employers found that 57% of the employers offer this program (*Business Wire May 2000*). The absence of such a program could hinder retention efforts.

TELECOMMUTING

With the advent of computers and the Internet into today's business world, employers are considering telecommuting as a strategy for retention. Quite simply, employees are allowed to split their workweek between the office and home. Workweek schedules vary depending upon the individual job duties and

responsibilities. On the workdays spent at home, employees access computers and telephones to maintain communication with the office. While telecommuting is a growing option, it has its limitations to many public agencies, which must rely on face-to-face people contact to conduct business.

MENTORING PROGRAM

Mentoring programs resemble formal on-the-job training. Skilled, experienced managers and supervisors are paired up with newly appointed or promoted co-workers and subordinates to train, guide and share with them their organizational experience. The mentoring relationships enable an accelerated learning curve for the "mentoree". A structured mentoring program ensures all newly appointed managers spend a specified timeframe (e.g., one month) working alongside their mentor, after which the mentors spend one month at the "mentoree's" work site. During the following year the mentor checks in and makes himself/herself available for additional training and guidance. Alternatives to mentoring programs pair up senior staff with junior staff to coach and advise the junior on career development. This type of program aids retention of both involved employees. It gives recognition to the mentor and unending career benefits for the "mentoree." Mentors also educate and train staff in their highly specialized function/skill. In many organizations, public sector included, many career managers retire with specialized subject matter skills and knowledge. These managers can effectively use the mentoring program to pass along their unique skills to subordinates. The organization and its employees benefit from the continuity and continuum of their specialty programs/ functions.

ROTATIONAL ASSIGNMENTS

Within the context of succession planning, rotational assignment programs establish a process where employees fill an identified group of managerial/supervisory positions on a rotational basis. These managers/supervisors are assigned to each position for a period of time over the next several years. Each new assignment provides a range of professional training to the individuals, thus preparing them for future advancement and strengthens the entire management team. Each manager will gain an increased knowledge and awareness of the organizational components. They will develop a keen sense of the organizational goals and the roles and responsibilities of each division/unit. This type of training better prepares the organization for changing times, such as reorganizations, downsizing and layoffs. With the current economy and its uncertain impact on the future financial stability, it will be increasing critical to have a well-rounded experienced management team. This program prepares these managers to assume ever-increasing responsibilities in the future and provides them with career development opportunities.

RECOGNITION PROGRAMS

Recognizing a job well done is one of the easiest and least costly ways to motivate and retain employees. Highly effective recognition programs can be both formal and informal. Programs such as Employee of the Month and Outstanding Supervisor of the Year come with praise, newsletter announcement, reserved parking space, and occasionally monetary awards. Simple informal praise for a job "well done" can contribute to a happier, more productive employee. At times, organizations will establish monetary reward programs for the achievement of specific work goals over a period of time (Managerial Performance Appraisal System). While these programs are very effective, they are generally designed for upper level managers and the establishment of overall divisional goals, which results in recognition of a small percentage of the organization's staff. Ongoing positive feedback costs nothing and motivates the employees. An important key to recognition programs is to make it public to all the employees. This can be achieved, for example, by ensuring all employees know what programs are available and how rewards can be achieved; and by utilizing executive staff meetings for presentation of awards and certificates, and by using the company newsletter for announcing commendations.

EXIT INTERVIEWS AND EMPLOYEES SURVEYS

In establishing or redesigning an employee recognition program, it is important to consult the employees. Creating a written survey for completion by the staff on a voluntary and anonymous basis has been an excellent tool used in many businesses. The employer can develop a questionnaire tailored to its organization's needs. Most employees are eager to share insights into what motivates them and what are the elements of the job they like and do not like. They will share their professional goals and aspirations and their home/life limitations. A periodic resurveyed workforce can keep management up-to-date regarding the challenges of retaining staff. Conducting exit interviews with employees who have chosen to leave the organization can be extremely helpful. Not only do they help in retaining the balance of the workforce, but also providing new thoughts and ideas on how to re-recruit your own employees back into the organization. At times, employees are more comfortable sharing their concerns on their last day of employment. These employees can alert employers are the most current issues of retention requiring your managerial attention. Connecticut's Department of Administrative Services survey entitled *A Survey of Employer Practices Aimed at Balancing Work and Life and Becoming or Staying an Employer of Choice* (Connecticut 2001) is a good example of how surveys can provide the employer with key information on retention strategies.

There are dozens of tools and techniques employers can use as strategies to retain their precious commodity, employees. The most widely used methods have been described in this section. Each one of them individually or in combination can improve any organization's retention program. Thus enabling the succession of these highly trained, motivated, dedicated, and supportive individuals up into the supervisory and managerial ranks.

ORGANIZATIONAL INTERVENTION STRATEGIES

In succession planning, every organization must also examine its own structure and match the skills of its supervisors and managers to each function within the structure. If this interdependent relationship is not functioning at its maximum level of efficiency, then determining strategies for intervention is crucial. Organizational intervention strategies are steps an organization may take to ensure managers are properly deployed to achieve program objectives and move the organization in the desired direction. Examples include staff redeployment, reorganization (a.k.a. restructuring), classification actions, and knowledge transfer.

Organizational Intervention Strategies

- Staff redeployment
- Reorganization/Restructuring
- Classification actions
- Knowledge Transfer

STAFF REDEPLOYMENT

After evaluating the skill sets of existing supervisors and managers, an agency often finds individual job mismatch, or hopefully in most cases it finds well-rounded managers who can serve the organization in a number of areas. One strategy that can be used by the agency is to redeploy or temporarily rotate managers to fill some of the gaps due to the loss of experienced staff. This often reenergizes managers, which in turn generates very positive results.

REORGANIZATION

Reorganizations or organizational restructuring are periodically necessary to keep an organization healthy and moving forward. The goal should be to make better use of existing resources and match skills to functions. However, reorganizations are always stressful on the organization, resulting in turmoil amongst the staff and often in a short-term reduction in work productivity. A recently retired high-level manager with 30 years of state service commented in his farewell speech, "there are many things that I will miss, but reorganizations are not one of them." This reflects the sentiment felt by most staff involved in reorganizations.

CLASSIFICATION ACTIONS

Before an agency reorganizes, it needs to address the potential need for position classification actions and issues of *knowledge transfer* (see following paragraph). Often, the reorganization creates a job that does not fit an existing state title/classification or that the method or tools used to do the job as previously described for that position are no longer applicable. In determining if a classification action is needed, one needs to examine the duties of each position within the new organization to ensure job titles and job descriptions are still appropriate. With over 5000 different classifications, many of which are old and outdated, the potential for obsolete classifications is a real problem in California's civil service system. Therefore, it is critical that an agency's succession planning efforts not be limited or bound by old class specifications. The planning should factor additional time to allow for working with the entity charged with the classification system so that classifications are updated or obsolete classifications deleted; thereby, resulting in classification specifications that reflect the work done by the current and foreseeable workforce. In dealing with non-represented supervisor and manager classifications, it can be easier to work with DPA if the change does not impact a statewide-represented classification.

KNOWLEDGE TRANSFER

To minimize the loss of institutional knowledge, organizations must document on an on-going basis the policies, processes, methods, tools and techniques used by existing staff. This documentation serves as the foundation for communication through out the organization. If time allows, it is ideal for

the new supervisor to shadow the incumbent before the incumbent leaves so that the learning can be done first hand. The rotational assignments and mentoring programs that are used as Retention Strategies and hiring of retired annuitants can also be used to minimize the loss of institutional knowledge. Other strategies that help to minimize the loss of institutional knowledge are discussed in the Staff Development Strategies section of this report (p. 23).

Minimizing the "Brain Drain"

- **Document procedures**
- **Implement Shadowing/mentoring programs**
- **Implement rotational assignments**
- **Re-hire "retirees" to train new staff**

RECRUITMENT STRATEGIES

The recruitment and hiring of quality staff is a key component of effective succession planning. Creating and maintaining a “deep bench” helps create continuity in difficult times and allows for easier transition when employees leave due to retirement, promotion, or other reasons. Making an upfront investment in having a diverse and highly qualified talent pool to turn to when the need to hire or promote arises can pay off big dividends. Whatever strategy is implemented, the strategy must be based on merit.

Recruitment Strategies

- Advertising
- Job fairs
- Special exams
- Special programs

In a tight labor market or where there are other constraints that make it difficult to find a diverse pool of qualified candidates, failure to have a well thought out recruitment plan can be disastrous. Failure to properly recruit can result in an insufficient volume of qualified candidates, a longer hiring period and thus organizational down time, a candidate pool lacking diversity and/or the hiring of candidates qualified but not right for the organization. In addition, misplaced recruiting can create other unnecessary problems, like getting several hundred applicants to fill just one or two positions.

Knowing the potential candidate pool is also very important. Potential employees can come from many sources, but in general they are students; people unemployed or about to be unemployed and actively seeking work; or employed but looking for a career change. Students, depending on the work classification being filled, would be from high schools, 2 year and 4 year colleges, trade schools and graduate schools. The unemployed would include persons new to the work force, such as legal non-citizens or people returning to the workforce, such as retirees and former homemakers. The “about to be unemployed” would be employees of downsizing companies or industries. Many human resources departments assist employees in directing them to organizations that are looking to hire. Giving open examinations at the supervisory and managerial levels may be essential to bring in new talent.

ADVERTISING

Recruitment advertising can take many forms. An organization can create professional looking marketing brochures, videos, and web sites. Web sites also provide an opportunity to list job benefits, including advancement opportunities, work and family accommodations, salaries, and opportunities for advancement. An agency can also advertise by “word of mouth” and during special events, like speaking engagements. Making the effort to have a skilled person available to speak about the organization and answer questions creates a positive impression of the organization for potential employees. Posting ads in the newspaper and on the Internet and working with human resources departments in downsizing companies are proactive steps in finding potential employees.

JOB FAIRS

Attending job fairs and other similar public events is also an effective way to recruit. These events provide the recruiting agency with a substantial pool of candidates basically instantly, for most typical state classifications, and with a minimal investment from the part of the agency. Job fairs can be sponsored by an outside entity or consortium of entities

Job Fairs

- Minimize recruitment time
- Provide good pool of candidates
- Offer opportunity for on-spot testing
- Allow for targeting special classifications

(e.g., local government, a particular college, etc.). They can also be sponsored by the recruiting agency itself and held at a particular college to target a particular classification(s). Further, job fairs offer an excellent opportunity for on-the-spot exams and reducing the time involved in the selection process.

SPECIAL EXAMS

Special exams cut down the time involved in the selection process. These special exams include: (1) on-spot exams at job fairs, a particular geographical location, or at a special recruiting events (e.g., at a college campus); and (2) Internet exams (a.k.a. “on-line exams”). On-line exams, particular the exams that allow a candidate to submit the exam also on-line, streamline the recruiting process and reduce the amount of personnel involved in ranking candidates. This in turn reduces the cost in administering the exam. On-line exams also allow an agency to do continuous recruiting, which could result in having an updated pool of candidates. In state service, exams can be open or promotional. Promotional exams are reserved for candidates already in state service. Open exams are available for all potential candidates, who meet the classification specifications.

PECIAL PROGRAMS

Investing in the future is key to any organization. Student, internship, and seasonal programs are extremely effective in creating a deep bench. Bringing in potential full time employees in a temporary capacity, such as a student assistant, intern, or seasonal employee can also be an effective recruitment tool. An agency can also tap directly into a particular pool of candidates by establishing a special program/partnership between it and four-year educational institutions or professional organizations, which is an effective way to fill “hard to fill” classifications. It can also establish a comprehensive mentoring program at various levels (e.g., K-12, high school, and college). The mentoring should not be, however, confined to typical intermittent interactions that are lunched with lots of fanfare and publicity, only to be abandoned 1 or 2 years later. The interaction must be sustainable, nurtured, and based on value (i.e., for the benefit of the students and their communities, which in turn benefits the state), regardless of whether these potential candidates end up in state service and, to the degree possible, not contingent on market forces.

For example, Caltrans sponsors and co-sponsors many engineering events at four-year colleges. In Fresno, Caltrans, the Society of Hispanic Professional Engineers, and the School of Engineering at California State University Fresno have sponsored the “Engineering Institute⁶.” This program consists of all-expenses paid, two-week, residential internship for high school students. The objective of the program is not just to expose the students to college life with a full engineering curricula (e.g., applied mathematics, surveying engineering, environmental engineering, etc.) for the two weeks, which in itself is a good investment for society as a whole, but also to expose them to ‘hands on’ engineering. Caltrans staff volunteer their time to coordinate the event, serve as chaperons, shadow and mentor the students, and assist the University faculty with the classes. Not only this is a sound investment in the future, but also it is good publicity for the state.

Special Programs

- Student internships
- Professional partnerships
- Mentoring

“Recruitment is an ongoing activity, even when we are not hiring. It assists us in identifying qualified candidates as well as identifying prospects we can nurture...” (CWRCB 2002)

⁶ Also, Caltrans is a member of the Industry Advisory Board for the School of Engineering. This also provides Caltrans with ideal opportunity to provide input on the School’s curriculum!

STAFF DEVELOPMENT STRATEGIES

A considerable amount of effort is required to ensure that institutional history, knowledge and skills are not lost, and that an adequate supply of competent employees are available to fill the vacancies created by the loss of high level executives. In that context, the *Demand* and *Supply* steps in succession planning (see p. 13 and 14, respectively) are key in determining the level of desirable skills and knowledge necessary for each anticipated vacancy and assessing the skill level of the available workforce (i.e., non-retiring workforce plus supply of candidates). Staff development strategies help bridge the gap between the competencies required and the skills available. These strategies have to incorporate key stakeholders input, which is ultimately reflected in individual development plans (IDPs). All educational and training resources, as well as, upward mobility opportunities should be considered necessary components in the development of a coordinated workforce plan. However, a coordinated workforce plan does not mean, and should not mean, "one-size-fits-all". The following paragraphs list a variety of staff development strategies.

Staff Development Strategies

- Training
- Upward Mobility Programs

TRAINING PROGRAMS

The following training strategies are available in State service to enhance staff competencies. The training, in many cases, can also serve as recruitment (e.g., when packaged as employment benefit) and retention tool (e.g., when offered to prepare employees for increased responsibility).

Job-Required Training: This training is designed to assure satisfactory performance in a current assignment. It includes orientation training, training made necessary by new assignments or new technology, refresher training for the maintenance of ongoing programs, safety training, on-the-job training, and training mandated by law or other State authority.

Job-Related Training: This program is designed to increase efficiency and effectiveness and improve performance above the level of competency established for a specific job assignment.

UPWARD MOBILITY PROGRAMS

Additionally, a succession plan should include the following programs and strategies for employees who meet criteria established by the department or agency, and demonstrate the aptitude or potential for advancement (i.e., upward mobility). Like the aforementioned discussed training, these programs can also serve as recruitment and retention tools.

Upward Mobility Training: The objective of this training is to provide career movement opportunity for employees within classifications designated as upward mobility per Government Code Sections 19400 and 19401.

Career-Related Strategies: They include counseling and college training opportunities (with or without including tuition reimbursement). Counseling utilizes individual professional, administrative, and technical employees who can serve as career models and have taken a course in career counseling. Each employee

who wishes to participate in an upward mobility program should be required to develop a career development plan.

Career counseling can also facilitate the successful transition for employees and can include services provided on a consultant basis; either hourly, or per employee cost basis. The services can include:

- Assisting individuals on how to respond to vacancy announcements;
- Identifying individual job skills and preferences;
- Conducting evaluations of individual's work/education background to identify potential occupations for employment consideration;
- Identifying potential employment resources; and
- Identifying available public and private sector resources (placement assistance and hotlines).

College training programs assist in the development of career potential and are intended to help provide an opportunity for self-development while also assisting in the achievement of a department's or the state's mission. Career-related training may be unrelated to a current job assignment.

Web-Based Training:

An online training resource that delivers professional development training at your desktop – anytime, anywhere. These self-paced courses may be used as a stand-alone training program, or as a supplement to currently attended instructor-led classes. These programs offer the following benefits:

- Reduces training costs;
- 24-hr desktop access anywhere in the world via the internet;
- Engaging and effective professional development training;
- Improves the work quality and productivity and minimizes skill gaps;
- Enables employees to conveniently learn at their own pace;
- Easily supports staff in field offices or other remote locations statewide; and
- Fast tracks and cross trains supervisors and managers.

**Training &
Development Assignments**

These assignments are intended for employees who are seeking training typically at a higher-level position or in an area or field with different skills and knowledge. They assignments also serve as a retention strategy.

Job Restructuring:

This consists of the development of career ladders and lattices, and modifications of work requirements where employment barriers exist.

Mentoring:

This strategy pairs voluntary mentors and employees; training is provided for both parties, and a Memorandum of Understanding is provided to clarify responsibilities in the mentoring relationship and ensure career development.

Rotational Assignments

Allows employees to gain career-broadening experience that will enhance their knowledge, skills and abilities.

Conferences/Workshops: They provide helpful information and resources on an industry-wide level. They also allow employees to see some of the similarities in various obstacles they experience, and gain useful information in overcoming or avoiding those obstacles.

There are several workforce training and development options available to State agencies to successfully bridge the gap between positions being vacated by retiring executives and the remaining workforce. Agencies should develop coordinated workforce plans that identify the training requirements associated with strategic objectives and needed core competencies. They should assure adequate funding to meet the identified training needs; and also, assure that training investments are linked to specific strategic outcomes including return on investment analyses for workforce development programs and employee performance measures.

CASE STUDY REVIEW: WHO IS DOING WHAT?

This chapter provides four case studies that demonstrate how certain public organizations of various sizes (e.g., federal agencies, cities, state agencies) have begun the difficult task of succession planning.

FEDERAL GOVERNMENT SUCCESSION AND WORKFORCE PLANNING STRATEGIES

This section summarizes a review of the workforce plans from the U.S. Department of Transportation (US DOT 1999), the U.S. Office of Personnel Management (US OPM 2002), and the Federal Highway Administration (FHA 2000). Just like most State agencies, within the next 5 years, a large number of federal employees will become eligible for retirement.

"Diversity is not something federal agencies seek just for the benefit of minority communities. It is something they feel they need to have because it brings strength and vitality to their organizations."

The numbers are especially high in critical occupations such as Executive Managers and Engineers. To maintain the needed capability, the above-mentioned federal agencies are engaging in comprehensive workforce planning that focuses on anticipating new leadership requirements, investing in and managing their workforce, and strengthening the identified leadership competencies to provide a cadre of high potential candidates for these positions. As these and other federal agencies, are taking direct action to introduce the necessary changes in workforce planning strategies, they are redesigning the basic federal systems for recruitment, examining, pay, classification, training, and performance management to provide the flexibility agencies must have to manage their employees and achieve their mission. The following paragraphs describe the efforts.

EXECUTIVE SPONSORSHIP

In setting a strategic direction, the agencies first obtained leadership commitment. More specifically, they choose specific individuals or teams, including all components of the organization and human resources, to carry out specific steps or actions. These individuals typically would be responsible for:

- ◆ Creating a development and implementation schedule
- ◆ Creating a communication plan
- ◆ Identifying those essential factors necessary to carry out the strategic objectives
- ◆ Determining whether or not the plans are achieving the desired results

Moreover, these individuals are also responsible for developing the workforce planning goals and objectives to achieve the desired outcome. Identifying these goals and objectives are achieved by:

- ◆ Clarifying purpose (mission, vision, mandates, etc.)
- ◆ Analyzing the needs of the stakeholders
- ◆ Assessing the organization's strengths and weaknesses
- ◆ Developing a corporate image
- ◆ Formulating strategies to achieve goals
- ◆ Deploying the plan throughout the organization
- ◆ Evaluating the progress of the plan

In creating a future workforce profile, federal agencies are not only forecasting the type of skills, numbers, and location of employees needed, but they are also increasing awareness of initiatives such as strategically planned training, family-friendly workplace policies, and genuine partnerships between labor and management. They are also sending a clear message that if they are to obtain the skills and talents they need to be successful, they must tap into the rich diversity of American society, including minorities, women, and the disabled. Diversity is not something federal agencies seek for the benefit of minority communities. It is something they feel they need to have because it brings strength and vitality to organizations. In developing ways to address skill Gaps, the federal agencies are implementing the following strategies.



RETENTION STRATEGIES

The agencies are using bonuses, incentive awards, promotions, intern and rotational programs, mentoring, work/family programs, employee empowerment, and improved communication and feedback to retain their workforce. The ultimate outcome of these retention strategies is consistently honoring the merit system principles, which the law sets forth as the foundation of an effective, well-managed government. The benefits from strategy implementation include an improved government-wide perceptions of equity and merit, increased accountability, high workforce quality, achievement of organizational goals, a supportive and productive organizational environment, improved public satisfaction with services provided by federal agencies.

RECRUITMENT STRATEGIES

To remain strongly competitive and an employer of choice, federal agencies have learned that they must offer a full range of benefits and personnel flexibilities that can be adapted by employees with differing and ever-changing needs. With this in mind, the agencies are using recruitment and relocation bonuses and creative compensation packages (particularly for hard to fill classifications like in the information technology field); expanded outreach efforts (job fairs, advertisements, internet postings and employee referrals) and special hiring authority (on-the-spot hiring); more work/family programs (varying work schedules); and student loan repayment programs. These recruitment strategies have helped in not only attracting, but also retaining the best workers.



CAREER DEVELOPMENT AND TRAINING PROGRAMS

The agencies have on-going training and retraining of staff, rotational assignments, individual development planning, on-line learning, tuition reimbursement, mentoring, career counseling, executive coaching for managers, and leadership development. These career development and training development strategies have resulted in training that is better linked to agency strategic goals, is more measurable, and is more outcome oriented.

OTHER STRATEGIES

These include Downsizing Strategies whose objective is reorganizing and outsourcing to maintain an acceptable level of service.

PROGRAM MONITORING, EVALUATION, AND REVISION

To measure the overall effectiveness of their workforce planning efforts, the aforementioned federal agencies use performance measures and comprehensive monitoring and evaluation programs. Performance measures can consist of In-process Indicators and Outcome Indicators. In-process Indicators tell an agency if the plan is on track, whereas Outcome Indicators contain measures on service results, such as employee satisfaction, average days pending, and accuracy. Additionally, the agencies are implementing a new measurement framework that identifies agency-level (corporate) performance measures that track their strategic goals and represent the factors most critical to success. They use these corporate measures as the primary basis for external performance reporting. Corporate measures framework provides a reasonable number of consistent, balanced measures that provide accessibility to agency-wide progress toward meeting external goals and corporate management goals. There is continuous focus on the quality and reliability of the measures used to assess progress towards goals. To monitor and evaluate the effectiveness of their planning efforts they used the following:

Monitoring:

- Linkages to Performance Measures
- Return on Investment Analysis
- High Performance Assessment
- Employee Satisfaction Assessment
- HR Strategic Management Assessment

Evaluation:

- Review Planning Strategies – Examples (recruiting, hiring, career development, and retention techniques)
- Conduct Surveys – In addition to the program-specific measurement data, various surveys are taken to collect information regarding programs. The performance measurement and survey data are augmented by targeted program evaluation, both internal and external. They are geared toward providing objective and quantifiable information on specific program areas and cross-program policy initiatives.
- Conduct Informal Feedback – With continuous interaction with the Federal Human Resources Management Council, Federal agencies are provided with informal feedback on their performance, as well as information regarding current Federal human resources management issues. Additional informal feedback occurs daily as staff responds to hundreds of inquiries from agency human resources offices, managers, and employees seeking advice and guidance about specific problems or interpretations of existing laws and regulations.

Based on these measures and programs, the agencies revise their strategic plans so that the plans are clearer in explaining what the agencies intend to do, how they intend to do it, and how they measure success.

CALIFORNIA DEPARTMENT OF SOCIAL SERVICES (CDSS)

CDSS has recognized the need to begin preparing its staff and managers to take the lead when experienced staff retire or leave the Department (CDSS 2002). This came to the forefront as CDSS realized the following facts:

- Over 50 percent of its staff were age 50 or older;
- Retirements quadrupled for managers and supervisors between 1998 and 2000; and
- When the employer shows an interest in employee's careers, they are less likely to leave.

STAFF DEVELOPMENT STRATEGIES

Relative to the New York Guide addressed throughout this project, CDSS initial focus was on staff development strategies. CDSS established a Professional Management Development Program, which is currently staffed with 3 full time professional level program managers. The Program has four key components:

- Development of a Management Competencies Program;
- A pre-manager 1-session training class;
- A mid-level 16-session manager training class; and
- Program Assessment

To help market the program and promote on-going communication and learning, a Professional Management Development Newsletter is published bi-monthly. Also, an online resource tool called "FAST" which stands for Fact Access to Supervisory Tools was designed to give supervisors and managers material that they need to carry out their responsibilities.

The initial focus began with the Management Competencies Program. This program grew out of information obtained from department-wide forums during its strategic planning process. This is a department-wide program focusing on the growth and development of its management and supervisory team. The program represented a long-term investment in developing new managers and supervisors as well as fine-tuning the skills of existing staff. This program focuses on growth, not perfection, while providing a set of specific expectations for success. The basis for this work was a model by Robert L. Katz, which specified that successful managers and supervisors utilize a set of core competencies grouped into three skill categories: Technical, Human and Conceptual. These three competencies represented interrelated categories of knowledge, skills and abilities that successful managers and supervisors possess and exercise in performing their daily job:

Areas within the technical competency include: Communication Skills, Project Management Skills, Program Management Skills, and Human Resource Management Skills.

Areas within the human competency include: Role modeling Skills, and Personal Qualities.

Areas within the conceptual competency include: Conceptual/Visionary Planning Skills, Decision-Making Skills, and Organizational Awareness.

The goal was to have each manager and supervisory identify through the performance evaluation process actions to take to incorporate the competencies into their daily work environment. Future evaluations would include detailed assessments of how the individual is doing relative to the nine skills outlined within the

overall 3 competency areas. CDSS implemented this component of the program in October 2000. It is now analyzing the results of over 300 surveys received from participants. On-going feedback and improvements are keys to program success. The following paragraphs detail the Program.

One day Pre-Manager

This one session training begins by discussing Succession Planning and its importance due to the aging population; high number of potential retirements and departures. The class overview includes: Increased awareness of the “real job” with a panel presentation by current managers. A self-assessment is conducted to determine personal readiness in addressing areas of confidence, attitude and personal attitude. A professional development resource binder is provided which strategies such as taking on lead assignments and role modeling, and mentoring. The day ends with a post session action plan for self-development on areas to work on prior to becoming a manager or supervisor. This class is extremely popular. CDSS follows-up with each participant at 3-, 6-, and 9-month intervals to see how each person is progressing on their individual action plan. The Professional Management Development unit staff share articles with participants, and information on how to study for state examination for example.

Mid-level Manager Training 16 sessions

In working with UC Davis, the mid-level manager attends a 16-session, 2 days per month, training program that extends over 10 months. This program began in January 2002 and was specifically developed for mid-level managers at CDSS to meet the leadership and management development needs. There are three overarching objectives of this program:

- Assess each participant’s management and leadership skills; provide feedback to enhance competencies.
 - Develop the capacity of subordinates by modeling and/or teaching concepts and skills learned in the program.
- Improve the performance of their area of responsibility using tools, concepts and techniques learned in the program.

The curriculum includes the following segments:

1. Leadership from the middle
2. Critical thinking
3. Communications and 360 degree feedback
4. Influencing others
5. Getting the job done through teams
6. Developing your staff
7. Building organizational capacity
8. Putting it all together.

PROGRAM ASSESSMENT

CDSS is using surveys to evaluate the effectiveness of its Competency Management Program. As of the date of this report, there was not sufficient data to determine the effectiveness. However, the Program Manager reports that, even though CDSS is going through significant budget cuts given the condition of the overall state budget, the Professional Management Development Program is not being cut because the initial results suggest that it is a success. With all of this in place, the Manager reported that the next area of focus would be an external look at recruitment strategies. Ironically, the program manager who provided the team with this information retired in August 2002.

SUCCESSION PLANNING IN ROSEVILLE, CALIFORNIA

It was back in 1997 when the leaders of the City of Roseville, California realized that over 70 percent of top management would likely retire within 5 years. They decided to launch a citywide succession planning program to meet the potential leadership vacuum. The focus of the Roseville program is also Staff Development Strategies that look internally and give employees every opportunity to enhance their skills. The city set up an assessment center to determine employee's strengths and developmental opportunities. The program components are:

- A half-day in-basket activity
- A group interaction segment
- A personal interview
- A Myers-Briggs personality type indicator
- A follow-up one-on-one feedback session
- Creation of a formal development plan

To implement the plan the city, in conjunction with a local university, developed specific training courses to help employees meet the goals of their development plan.

EMPLOYMENT DEVELOPMENT DEPARTMENT (INFORMATION TECHNOLOGY BRANCH)

Recognizing the serious problem the State faces with the aging of its workforce and other demographic changes, the Employment Development Department's (EDD) has been proactive in addressing succession planning. In 2002, its Information Technology Branch (ITB) prepared an issue paper (EDD ITB 2002) and formed a planning work group to answer the following question:

What actions should ITB initiate to ensure continued leadership in the IT management ranks to meet our increasingly critical service delivery needs, given the expected increase in retirements and the paucity of interested replacement candidates?

RECRUITMENT, RETENTION, AND STAFF DEVELOPMENT STRATEGIES

The workgroup researched and reviewed what others were doing and held two focus group sessions involving staff from all ITB to gather staff thoughts on the attractions and disincentives of going into management. The group decided that a formal succession planning process that included plans for appointed positions was outside the control of the workgroup and, therefore, out of scope. Instead, the workgroup decided to focus on how to identify and nurture prospective managers within the Branch and on improving recruitment and retention of manager. In this context, the workgroup recommended 3 initiatives for the Branch:

INITIATIVE #1—Improve effectiveness of supervisors and managers by providing more organizational support to permit them to focus more on their leadership roles and responsibilities.

- Explore use of staff support positions to assist supervisors and managers.
- Modify expectations (of those classifications/positions) appropriately.

INITIATIVE #2—Make Manager Jobs More Attractive—Get Their Attention

- Provide greater degree of support and recognition of managers
- Increase communication among managers
- Increase the desirability of becoming a manager.

INITIATIVE #3—Build a training program for existing and new managers and use the program as a recruitment and retention tool (or management training project)

- Train everyone in some management skills
- Focus training for some objectively selected individuals
- Provide ongoing mentoring of new managers
- Supervisor internships (Training and Development Assignments at the Data Processing Manager I classification with training)

For each initiative, the workgroup formulated answers to the following questions:

- What would this look like if fully realized?
- What implementation issues would we face?
- What actions would we take if we want to proceed?
- What should be considered during the process?
- What assumptions are we making?

The ITB Executive Team reviewed the initiatives and agreed to assign staff to pursue the recommendations outlined in Initiatives 2 and 3. The Executive Team felt that the recommendations outlined in Initiative 1 would be incorporated in planned organizational changes to more closely align the IT organization with IT products and service delivery.

CONCLUSIONS AND RECOMMENDATIONS

The demographic data and case studies reviewed by the team indicate there is a clear and pressing need for succession planning. While it may be too early to determine the overall effectiveness of the programs and models reviewed by the team, the individuals within the organizations reviewed speak very favorably about the progress they have made. For example, the number of pre-managers, supervisors and managers enrolled in the training courses offered by CDSS is so great that a waiting list exists and classes cannot be offered frequent enough to meet the demand. Also, feedback received from CDSS staff is very favorable. Also, feedback received from the participants of the Assessment Center created by the City of Roseville was positive, both from a personal and business sense. City employees were felt that the City cared about developing and retaining their services and that the City had a vision for the future. In addition, the 35 initial City participants were surveyed and the results indicated that:

- 85 percent thought the Assessment Center process was valuable;
- 65 percent believed the feedback was specific enough to use in their future development plan; and
- 30 percent had a formal plan developed.

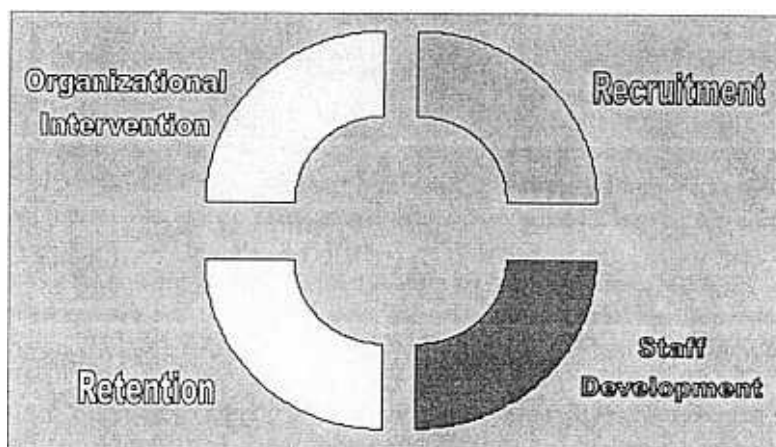
The inherent goals of succession planning are increased leadership preparation, greater employee satisfaction, enhanced commitment to the workplace, and better retention. While having a comprehensive plan is no easy task, the planning can be implemented in phases (e.g., in order of priorities). Also, succession planning does not have to be complex to be effective. It can be as clear and simple as the City of Roseville planning strategy. Even when the effort is comprehensive, no single state agency (or organizational unit) needs to share the burden of getting everything done by itself. As the New York's workforce and succession planning guide shows, responsibility can be split amongst various state agencies. But California agencies cannot afford to wait for a top-down, statewide planning guide. Action is required immediately. In this context, the team has the following recommendations.

GENERAL RECOMMENDATIONS

If they have not started already, all state agencies should begin their succession planning immediately. Of the strategies reviewed, the team found that they could be broadly classified in 4 categories:

1. Recruitment
2. Retention
3. Staff Development
4. Organizational Intervention

Succession planning is a cycle. That is to say, while the immediate needs of an organization may dictate focused actions on a particular category, the organization's plan must address all of the categories.



For the succession plan to be effective in the long-term, the plan should:

- Have sponsorship at the highest levels of the organization and be supported throughout the organization;
Be based on and integrated into the organization's strategic planning;
- Be focused in scope (i.e., tailored to fit the organizational needs and priorities);
Be structurally flexible so that particular components of the aforementioned 4 strategies can be added or phased out as need and resources require;
Include performance measures and a monitoring and evaluation program so that (a) its effectiveness can be assessed, and (b) strategies can be added, refined, and phased out as necessary; and
- Be reviewed and updated periodically as necessary.

SPECIFIC RECOMMENDATIONS

Besides the aforementioned recommendations, it is recommended that the project sponsor consider using the New York Guide as a start for its planning effort. The guide is easy to understand, contains planning examples, and provides a methodical, yet flexible way to develop both workforce and succession plans. Further, it implicitly integrates Total Quality Management principles (e.g., key stakeholder input; monitoring, assessment, and improvement; etc.).

Also, the team members unanimously believe that management and supervision must be made more attractive. In this regard, the team members, based on their personal experiences, consider the following strategies key components in any succession plan:

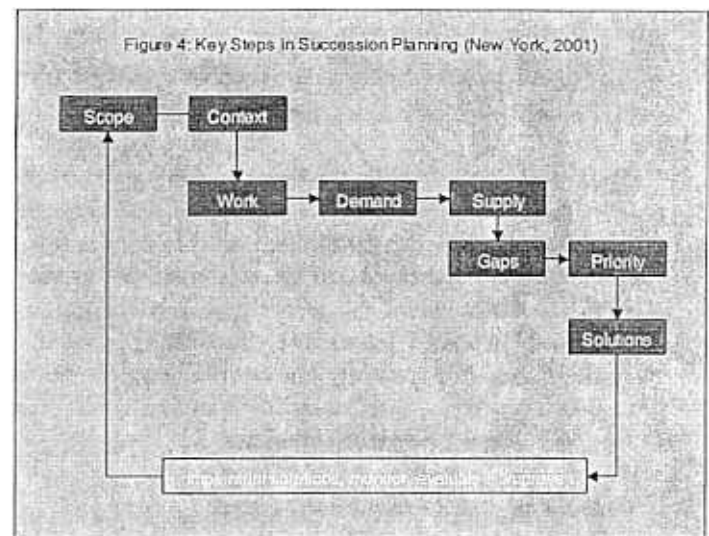
- Executive/leadership training
- Rotational assignments
- Mentoring (of supervisors/managers)
Recognition
- Special programs

Executive and/or leadership training should not be confined to top-level managers/supervisors. The training provides participants with key tools and techniques to become more self-disciplined, to motivate employees, and form high-performing teams (i.e., the training serves as a retention-staff development strategy).

Rotational programs provide participants not just with an opportunity to perform different tasks (i.e., change the routine) and learn new skills, but also strengthen the management team (i.e., it acts as a retention-staff development-knowledge transfer strategy).

The team felt strongly about mentoring being a key component. In fact, at least one team member felt that mentoring of newly appointed supervisors/managers should not just be recommended, but it should be codified. Typically a rank-and-file employee is promoted to a supervisory/management position based on his/her technical expertise and management potential. The mandatory two weeks of supervisory training for newly appointed state supervisors/managers, while very helpful, are insufficient to ensure their success. The

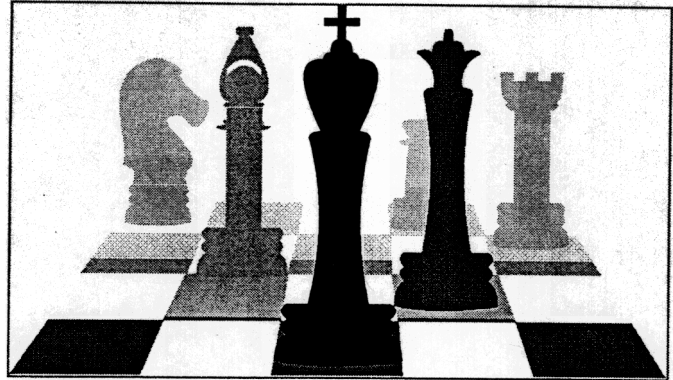
Figure 4: Key Steps In Succession Planning (New York, 2001)



incumbent ends up in the “school of hard knocks.” A mentoring program, while not supplement for the “school of hard knocks,” would enable an accelerated learning curve for the “mentoree” (i.e., it is an effective staff development strategy).

Recognition programs not only acknowledge positive work behavior, but also encourage it (i.e., it acts as a retention-staff development strategy). For them to be effective they do not even have to be based on money or be done with lots of fanfare and publicity—they just have to be timely and sincere. A “WELL DONE!” many times will do or a “I know you always work extra hard to get things done with limited resources. Go home early tomorrow so you can spend more time with the family” is even better.

Special programs are essential but not necessarily for current or soon-to-be managers (i.e., the immediate workforce). They are critical for the State’s future managers. Rumors about pay parity in state service, as someone would put it, continue to be greatly exaggerated. The disparity may not be a determining employment factor now, but it will be with the projected smaller pool of candidates. If the State is to have the best and brightest to effectively serve its people and continue to be a world leader, it will have to add value to its checks. A long-term relationship



between the State and its diverse communities, its schools, and professional organizations is not just a good way to strengthen the communities, but it also adds value to the paycheck. The relationship is built through mentoring programs at K-12 schools, “Engineering Institutes,” speaking engagements, sponsorships, student programs, and community outreach and education events. The relationship is fragile. Therefore, it must be sustained (i.e., has to be on-going) by all state agencies regardless of whether their main pool of candidates is college students or people with 20 years of experience under their belt. It is the key strategy.

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APPENDIX A

PROJECT CHARTER

Project Title: Strategies for Succession Planning for Manager Classifications in California State Government

Project Sponsor: Richard Reed, Assistant Executive Director, The Commission on Peace Officer Standards and Training

Project Team: Jose Angel, Kären Dickerson, Kathleen Dickinson, Ron Dotta, Ida Russell, and Kathy Ruiz

Project Timeline: May – December 2, 2002

BACKGROUND

Faced with an aging workforce and an emphasis on reducing managerial positions, State agencies will be hard pressed in the near future to fill their manager vacancies with qualified applicants. Many Departments are only beginning to recognize the problem and initiate plans and activities to address their future needs. The CLI Project proposes to identify the causes that have led to a reduced candidate pool and suggest remedies that State agencies can adopt to address the problem and plan for the future.

METHODOLOGY

The project team plans to collect data on the State workforce demographics and interview Human Resource Directors at various State Departments to identify the root causes of the problem. Team members will research efforts and strategies undertaken by both California and other State government agencies to identify the “best of breed” approaches for addressing the problem.

OBJECTIVES

The goals of the project are (1) to confirm the root causes of the lack of a trained and skilled labor force to meet the needs for managers in State government, and (2) to identify approaches Department’s can utilize to overcome these problems and ensure they have staff that are prepared and qualified to assume leadership roles.

DELIVERABLES

The project has two deliverables: (1) An Issue Paper (or report) that presents the factors contributing to the problem statement, including a summary/inventory of strategies utilized by other government entities to address the problem of succession planning; and (2) a presentation of the project findings to CLI Class # 6.

ASSUMPTIONS

Sponsor provides guidance to the project team to achieve the project objectives in the planned time frames. Project team members share the research and analysis assignments and abide by agreed upon milestone dates.

ROLES AND RESPONSIBILITIES

The Project Sponsor is the Assistant Executive Director of the Administrative Division of the Commission on Peace Officers Standards and Training. The Project Sponsor must have a clear view of the objectives of the project, particularly the deliverables to be produced by the project team. The Project Sponsor is the ultimate arbiter on scope issues, if the project team cannot resolve these issues. The Project Sponsor expects the project to be delivered on time. The Project Sponsor may facilitate access to other stakeholders deemed critical to the success of the project and may provide resources to assist with the collection of information for the project.

The Project Lead is Ida Russell, Program Manager for the Department of General Services. The Project Lead is responsible for monitoring the project's progress against milestones, coordinating tasks among project team members and seeks to resolve any issues. The Project lead is responsible for reporting any schedule or scope issues to the Project Sponsor as needed.

The Project Team members represent the State Water Resources Control Board, Department of Insurance, Department of Corrections, Franchise Tax Board and Employment Development Department. The Project Team is responsible for gathering information to fulfill the objectives of the project. This includes, but may not be limited to researching problem causes and alternative solutions, drafting report sections, reviewing other team members products and presenting the final product to the Project Sponsor, CLI staff and participants and their own Department management teams.

BENEFITS

The team members implement management techniques and leadership strategies learned in the CLI to accomplish the project. California State agencies have a prepared, qualified and competent workforce to meet their needs for managers and leaders.

APPENDIX B

STATE POPULATION AND STATE EMPLOYEES DATA

Table 2: California Population and Percent Distribution by Age (DOF, 2002)

Age group	Population
Under 5 years	2,486,981
5-9	2,725,880
10-14	2,570,822
15-17	1,466,146
18-19	984,742
20-24	2,381,288
25-34	5,229,062
35-44	5,485,341
45-54	4,331,635
55-59	1,467,252
60-64	1,146,841
65-74	1,887,823
75-84	1,282,178
85 and over	425,657
Total	33,871,648

Table 3: State Personnel Board 2000 Workforce Data

Department	Total Employees	Supervisors/Managers		Supervisors/Managers Age 55 and Older	
		#	%	#	%
Corrections	39,294	5,915	15.1	793	13.4
Transportation	18,422	2,333	12.7		27.3
California Highway Patrol	9,455	1,413	14.9	223	15.8
Employment Development	7,308	1,158	15.8	360	31.1
Motor Vehicles	7,290	1,175	16.1	223	19.0
Mental Health	6,689	606	9.1	187	30.9
Developmental Services	6,464	500	7.7	141	28.2
State Compensation Insurance Fund	5,358	785	14.7	136	17.3
Health Services	4,515	763	16.9	227	29.8
Franchise Tax Board	4,096	456	11.1	77	16.9
Youth Authority	4,093	716	17.5	118	16.5
Justice	3,892	376	9.7	96	25.5
Social Services	3,682	552	15.0	120	21.7
Board of Equalization	3,390	373	11.0	74	19.8
Forestry & Fire Protection	3,316	523	15.8	72	13.8
General Services	3,284	513	15.6	153	29.8
Water Resources	2,248	435	19.4	130	29.9
Industrial Relations	2,205	221	10.0	97	43.9
Consumer Affairs	2,203	244	11.1	32	13.1
Parks & Recreation	1,684	404	24.0	52	12.9
Rehabilitation	1,682	277	16.5	79	28.5
Education	1,533	153	10.0	39	25.5
Fish & Game	1,519	272	17.9	72	26.5
Veterans Affairs	1,221	132	10.8	30	22.7
Public Employees Retirement System	1,094	136	12.4	17	12.5
Food & Agriculture	1,033	242	23.4	59	24.4
Water Resources Control Board	994	183	18.4	47	25.7
Controllers	924	134	14.5	25	18.7
Insurance	890	109	12.2	19	17.4
Air Resources Board	833	116	13.9	25	21.6
Toxic Substances Control	765	139	18.2	27	19.4
Public Utilities Commission	674	110	16.3	36	32.7
Lottery	549	72	13.1	21	29.2
Prison Industry Authority	537	144	26.8	56	38.9
Conservation	454	74	16.3	19	25.7
Office of Emergency Services	435	62	14.3	12	19.4
Unemployment Insurance Appeals Board	420	51	12.1	18	35.3
Alcoholic Beverage Control	398	81	20.4	14	17.3
Corporations	383	46	12.0	11	23.9
State Teachers Retirement System	379	55	14.5	13	23.6

Table 3: State Personnel Board 2000 Workforce Data

Housing & Community Development	378	61	16.1	15	24.6
Secretary of State	375	36	9.6	6	16.7
Legislative Counsel Bureau	450	NR ⁷	NR	NR	NR
State Energy Resources Conservation & Development Commission	359	NR	NR	NR	NR
Health & Welfare Agency Data Center	349	NR	NR	NR	NR
California Conservation Corps	333	NR	NR	NR	NR
Stephen P. Teale Consolidated Data Center	325	NR	NR	NR	NR
Board of Control	307	NR	NR	NR	NR
Pesticide Regulation	294	NR	NR	NR	NR
California Integrated Waste Management Board	290	NR	NR	NR	NR
Office of Statewide Health Planning & Development	287	NR	NR	NR	NR
Finance	278	NR	NR	NR	NR
Real Estate	252	NR	NR	NR	NR
Fair Employment & Housing	252	NR	NR	NR	NR
Alcohol & Drug Programs	244	NR	NR	NR	NR
California Student Aid Commission	209	NR	NR	NR	NR
Military	200	NR	NR	NR	NR
State Treasurer	107	NR	NR	NR	NR
Personnel Administration	188	NR	NR	NR	NR
Trade & Commerce Agency	184	NR	NR	NR	NR
State Lands commission	159	NR	NR	NR	NR
California State Library	155	NR	NR	NR	NR
Board of Governors, CA Community Colleges	149	NR	NR	NR	NR
California Housing Finance Agency	148	NR	NR	NR	NR
Commission on Teacher Credentialing	141	NR	NR	NR	NR
State Personnel Board	126	NR	NR	NR	NR
California Museum of Science & Industry	115	NR	NR	NR	NR
Board of Prison Terms	104	NR	NR	NR	NR
Bureau of State Audits	104	NR	NR	NR	NR
Office of Criminal Justice Planning	98	NR	NR	NR	NR
California Dept of Aging	97	NR	NR	NR	NR
California Coastal Commission	97	NR	NR	NR	NR
Peace Officer Standards & Training	94	NR	NR	NR	NR
Community Services & Development	89	NR	NR	NR	NR
State Public Defender	85	NR	NR	NR	NR
Office of Environmental Health Hazard Assess	82	NR	NR	NR	NR
Boating & Waterways	66	NR	NR	NR	NR
California Exposition & State Fair	55	NR	NR	NR	NR
Area Board on Developmental Disabilities	48	NR	NR	NR	NR
Horse Racing Board	47	NR	NR	NR	NR

Not Reported: Therefore, data for these departments were not used in the analysis

Table 3: State Personnel Board 2000 Workforce Data

Board of Corrections	45	NR	NR	NR	NR
Fair Political Practices Commission	44	NR	NR	NR	NR
Office of Real Estate Appraisers	31	NR	NR	NR	NR
State Coastal Conservancy	31	NR	NR	NR	NR
Emergency Medical Services Authority	30	NR	NR	NR	NR
Agricultural Labor Relations Board	30	NR	NR	NR	NR
Office of Traffic Safety	27	NR	NR	NR	NR
Arts Council	27	NR	NR	NR	NR
Major Risk Medical Insurance Program	26	NR	NR	NR	NR
Public Employment Relations Board	24	NR	NR	NR	NR
California Postsecondary Education Commission	23	NR	NR	NR	NR
Afro-American Museum General Fund	23	NR	NR	NR	NR
Information Technology	21	NR	NR	NR	NR
San Francisco Bay Conservation & Development	19	NR	NR	NR	NR
Youthful Offender Parole Board	17	NR	NR	NR	NR
Office of Administrative Law	17	NR	NR	NR	NR
California Earthquake Authority	16	NR	NR	NR	NR
California Tahoe Conservancy	16	NR	NR	NR	NR
California Mortgage Bond & Tax Credit Allocation	14	NR	NR	NR	NR
California Transportation Commission	10	NR	NR	NR	NR
Business, Transportation & Housing Agency	9	NR	NR	NR	NR
Fair Employment & Housing Comm	9	NR	NR	NR	NR
California Pollution Control Financing Author	9	NR	NR	NR	NR
California Environmental Protection Agency	8	NR	NR	NR	NR
Resources Agency	8	NR	NR	NR	NR
California Debt Advisory Commission	7	NR	NR	NR	NR
Commission on State Mandates	7	NR	NR	NR	NR
State Board of Chiropractic Examiners	7	NR	NR	NR	NR
California Health Facilities Financing Authority	6	NR	NR	NR	NR
Youth & Adult Correctional Agency	5	NR	NR	NR	NR
Health & Welfare Agency Data Center	5	NR	NR	NR	NR
State Council on Developmental Disabilities	5	NR	NR	NR	NR
Commission on Aging	4	NR	NR	NR	NR
Colorado River Board	4	NR	NR	NR	NR
Alcoholic Beverage Control Appeals Board	4	NR	NR	NR	NR
California Debt Limit Allocation Committee	4	NR	NR	NR	NR
State & Consumer Services Agency	3	NR	NR	NR	NR
California Law Revision Commission	3	NR	NR	NR	NR
Governors Advisory Committee on Child Care	3	NR	NR	NR	NR
California State Summer School for the Arts	3	NR	NR	NR	NR
California Educational Facilities Authority	3	NR	NR	NR	NR
Santa Monica Mountains Conservancy	2	NR	NR	NR	NR

Table 3: State Personnel Board 2000 Workforce Data					
Commission on the Status of Women	2	NR	NR	NR	NR
Commission on CA State Government Organization	2	NR	NR	NR	NR
Board of Osteopathic Examiners	2	NR	NR	NR	NR
Native American Heritage Commission	2	NR	NR	NR	NR
Delta Protection Commission	1	NR	NR	NR	NR
California Occupational Information Coordination Commission	1	NR	NR	NR	NR
Ca Industrial Development and Finance Advisory Commission	1	NR	NR	NR	NR
State Independent Living Council	1	NR	NR	NR	NR
Board of Pilot Commissioners	1	NR	NR	NR	NR
California School Finance Authority	1	NR	NR	NR	NR

APPENDIX C

NEW YORK WORKFORCE AND SUCCESSION PLANNING GUIDE